

GAU 1542 #

Amendment

**TOWNSEND and TOWNSEND and CREW LLP**  
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Attorney Docket No. 80309-000000US  
Client Ref No. P10295 DrB/heh

In re application of: **HORST LINDHOFF**

Date: November 22, 2000

Application No.: 09/094,921

I hereby certify that this is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

Filed: June 15, 1998

Group Art Unit: 1642

Assistant Commissioner for Patents  
Washington, D.C. 20231

For: **METHOD FOR EX VIVO IMMUNIZATION USING  
HETEROLOGOUS INTACT BISPECIFIC AND/OR  
TRISPECIFIC ANTIBODIES**

Signed: *Malinda Wozniak*

**THE ASSISTANT COMMISSIONER FOR PATENTS**  
**Washington, D.C. 20231**

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DEC 04 2000

Sir:

Transmitted herewith for filing in the above-identified application are:

- ☒ A petition to extend time to respond.  
☒ Amendment No. 2.  
☒ A verified statement to establish small entity status under 37 CFR 1.9 and 1.27 is enclosed.  
☒ An Information Disclosure Statement

TECH CENTER 1600/2900

If any extension of time is needed, then this response should be considered a petition therefor.  
The filing fee has been calculated as shown below:

	(Col. 1)		(Col. 2)		(Col. 3)
	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NO. PREVIOUSLY PAID FOR		PRESENT EXTRA
TOTAL	* 27	MINUS	** 26	=	1
INDEP.	* 3	MINUS	*** 3	=	0
[ ] FIRST PRESENTATION OF MULTIPLE DEP. CLAIM					

SMALL ENTITY		OR	OTHER THAN SMALL ENTITY	
RATE	ADDIT. FEE		RATE	ADDIT. FEE
x \$9.00 =	\$9.00		x \$18.00 =	
x \$40.00 =	\$0.00		x \$80.00 =	
+ \$135.00 =			+ \$270.00 =	
TOTAL ADDIT. FEE	\$9.00	OR	TOTAL	

- \* If the entry in Col. 1 is less than the entry in Col. 2, write "0" in Col. 3.  
\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, write "20" in this space.  
\*\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, then write "3" in this space. The "Highest Number Previously Paid For" (Total or Independent) is the highest number found from the equivalent box in Col. 1 of a prior amendment or the number of claims originally filed.

[ ] No fee is due.

Please charge Deposit Account No. 20-1430 as follows:

[ X ] Claims fee \$ 9.00  
[ X ] Any additional fees associated with this paper or during the pendency of this application.

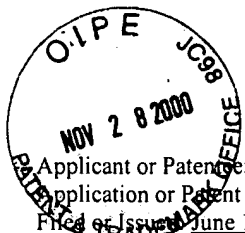
2 extra copies of this sheet are enclosed.

Customer No. 20350

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Attorneys for Applicant



VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION

Applicant or Patente: Horst Lindhofer, Hans-Joachim Kolb, Reinhard Zeidler and Georg BornkammApplication or Patent No.: 09/094,921Filed or Issued: June 15, 1998Title: METHOD FOR EX VIVO IMMUNIZATION USING HETEROLOGOUS INTACT BISPECIFIC AND/OR TRISPECIFIC ANTIBODIES

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Nonprofit Organization: GSF-Forschungszentrum für Umwelt und Gesundheit GmbHAddress of Nonprofit Organization: Ingolstädter Landstrasse 1, D-85764 Oberschleissheim, Germany

Type of Nonprofit Organization:

- ☐ University or other institution of higher education  
☐ Tax exempt under Internal Revenue Service Code [26 USC 501(a) and 501(c)(3)]  
☐ Nonprofit scientific or educational under statute of state or the United States of America  
(Name of state )  
(Citation of statute )  
☐ Would qualify as tax exempt under Internal Revenue Service Code [26 USC 501(a) and 501(c)(3)] if located in the United States of America  
☒ Would qualify as nonprofit scientific or educational under statute of state of the United States of America if located in the United States of America  
(Name of state )  
(Citation of statute )

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention, entitled METHOD FOR EX VIVO IMMUNIZATION USING HETEROLOGOUS INTACT BISPECIFIC AND/OR TRISPECIFIC ANTIBODIES by inventor(s) Horst Lindhofer, Hans-Joachim Kolb, Reinhard Zeidler and Georg Bornkamm described in:

- ☐ the specification filed herewith.  
☒ Application No. 09/094,921, filed June 15, 1998.  
☐ Patent No. , issued .

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights in the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern that would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

Name \_\_\_\_\_  
Address \_\_\_\_\_

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing: ppa. Stefan Reiserer i.V. Dr. Georg Menache  
Title in Organization of Person Signing: Head of Legal Dept. Technologytransfer-Manager  
Address of Person Signing: GSF-Forschungszentrum für Umwelt und Gesundheit GmbH  
Ingolstädter Landstrasse 1, D-85764 Oberschleissheim, Germany

Signature ppa. Reiserer i.V. Dr. MenacheDate October 19, 2000